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PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/776,397
Filing Date	February 10, 2004
First Named Inventor	Sohrab Kianian et al.
Art Unit	2811
Examiner Name	Not assigned yet
Attorney Docket Number	2102397-992011

Total Number of Pages in This Submission

5

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ Remarks The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this sheet is enclosed. Customer No. 26379	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Alan A. Limbach, Reg. No. 39,749 DLA Piper Rudnick Gray Cary US LLP
Signature	<i>[Handwritten signature]</i>
Date	February 10, 2005

CERTIFICATE OF TRANSMISSION/MAILING

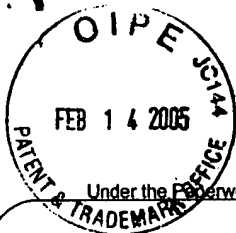
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Typed or printed name	Kathleen LaBrie		
Signature	<i>[Handwritten signature: Kathleen LaBrie]</i>	Date	February 10, 2005

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FORM**

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ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
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Remarks

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Alan A. Limbach, Reg. No. 39,749 DLA Piper Rudnick Gray Cary US LLP
Signature	
Date	February 10, 2005

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Typed or printed name Kathleen LaBrie

Signature

Date February 10, 2005

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INFORMATION DISCLOSURE STATEMENT

Applicants:	Kianian et al.
Application No.	10/776,397
Filed:	February 10, 2004
For:	Self Aligned Method Of Forming A Semiconductor Memory Array Of Floating Gate Memory Cells With Buried Bit-Line And Vertical Word Line Transistor
Group Art Unit:	2811
Examiner:	Not assigned yet
Attorney Docket No.:	2102397-992011

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

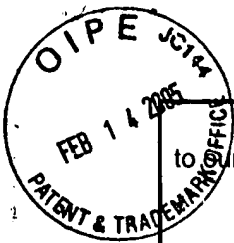
This Information Disclosure Statement:

- (a) ☐ accompanies a new patent application submitted herewith.
- (b) ☒ is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; **OR**
- (c) ☐ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below **OR**
- (d) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (e) ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (f) ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed



The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees to our Deposit Account No. 07-1896

Date: February 10, 2005

Respectfully submitted,

DLA PIPER RUDNICK GRAY CARY US LLP

By: Alan A. Limbach
Alan A. Limbach

Reg. No. 39,749

Attorneys for Applicant(s)

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Facsimile: 650-833-2001

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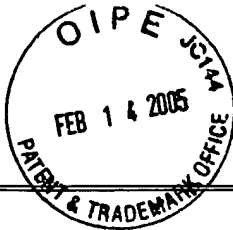
Page 2 of 2

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February, 2005

Date

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Form PTO-1449 (modified 2/91)	U.S. DEPT. OF COMMERCE Patent and Trademark Office	Attorney Docket Number: 2102397-992011	Serial Number: 10/776,397
		Applicants: Kianian et al.	
		Filing date: February 10, 2004	Group art unit: 2811

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No. Publication No.	Date	Name	Class	Sub-class	Filing date if appropriate
	5,998,261	12/07/99	Hofmann et al.			

FOREIGN PATENT DOCUMENTS

Document number	Date	Country	Class	Sub-class	Translation YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	